

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		Complete if Known <table border="1"> <tr> <td>Application Number</td> <td>09/945507</td> </tr> <tr> <td>Filing Date</td> <td>August 30, 2001</td> </tr> <tr> <td>First Named Inventor</td> <td>Forbes, Leonard</td> </tr> <tr> <td>Group Art Unit</td> <td>2818</td> </tr> <tr> <td>Examiner Name</td> <td>Unknown</td> </tr> </table>		Application Number	09/945507	Filing Date	August 30, 2001	First Named Inventor	Forbes, Leonard	Group Art Unit	2818	Examiner Name	Unknown
Application Number	09/945507												
Filing Date	August 30, 2001												
First Named Inventor	Forbes, Leonard												
Group Art Unit	2818												
Examiner Name	Unknown												
Sheet 1 of 2		Attorney Docket No: 01303.014US1											



US PATENT DOCUMENTS

Examiner Initials *	Cite No ¹	USP Document No	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures appear
		US-4412902	11/01/1983	Michikami, Osamu, et al	
SN		US-4780424	10/25/1988	Holler, Mark A	
		US-5350738	09/27/1994	Hase, Takashi, et al	
		US-5691230	11/25/1997	Forbes, L.	
		US-5801401	09/01/1998	Forbes, L.	
		US-5852306	12/22/1998	Forbes, Leonard	
SN		US-5936274	08/10/1999	Forbes, L., et al	
		US-5981350	11/09/1999	Geusic, J. E., et al	
		US-6025627	02/15/2000	Forbes, L., et al	
		US-6031263	02/29/2000	Forbes, L., et al	
		US-6134175	10/17/2000	Forbes, L., et al	
		US-6143636	11/07/2000	Forbes, L., et al	
SN		US-6208164	03/27/2001	Noble, W. P., et al	

FOREIGN PATENT DOCUMENTS

Examiner Initials *	Cite No ¹	Foreign Document No	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures appear	T ²
---------------------	----------------------	---------------------	------------------	---	---	----------------

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
SN		ARYA, S., "Conduction Properties of Thin Al ₂ O ₃ Films", <u>Thin Solid Films</u> , 91, (1982), pp. 363-374	
SN		DIPERT, BRIAN., "Flash Memory Goes Mainstream", <u>IEEE Spectrum</u> , 30, (October 1993), 48-52	
SN		ELDRIDGE, J.M., "Growth of Thin PbO Layers on Lead Films", <u>Surface Science</u> , Vol. 40, (1973), 512-530	
SN		ELDRIDGE, J., "Measurement of Tunnel Current Density in a Metal-Oxide-Metal System as a Function of Oxide Thickness", <u>Proc. 12th Intern. Conf. on Low Temperature Physics</u> , (1971), pp. 427-428	
SN		GREINER, J.G., "Josephson Tunneling Barriers by rf Sputter Etching in an Oxygen Plasma", <u>Journal of Applied Physics</u> , vol. 42, no. 12, (November 1971), 5151-5155	
SN		GREINER, J., "Oxidation of lead films by rf sputter etching in an oxygen plasma", <u>Journal of Applied Physics</u> , 45(1), (1974), pp. 32-37	
SN		GUNDLACH, K., "Logarithmic Conductivity of Al-Al ₂ O ₃ -Al Tunneling Junctions Produced by Plasma and by Thermal Oxidation", <u>Surface Science</u> , 27, (1971),	

EXAMINER

SONI DINH

DATE CONSIDERED

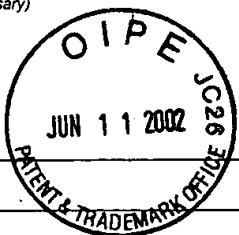
6/11/03

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)



Complete if Known

Application Number	09/945507
Filing Date	August 30, 2001
First Named Inventor	Forbes, Leonard
Group Art Unit	2818
Examiner Name	Unknown

Sheet 2 of 2

Attorney Docket No: 01303.014US1

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
SN		pp. 125-141	
SN		HURYCH, Z. "Influence of Non-Uniform Thickness of Dielectric Layers on Capacitance and Tunnel Currents", <u>Solid-State Electronics</u> , vol. 9, (1966), 967-979	
		KUBASCHEWSKI, O. "Oxidation of Metals and Alloys", <u>Butterworths</u> , London, (1962), 53-63	
		LUAN, H.F., "High Quality Ta ₂ O ₅ Gate Dielectrics with T _{ox,eq} < 10Å", <u>IEDM Technical Digest</u> , (1999), 141-143	
		MASUOKA, FUJIO., "A 256K flash EEPROM using Triple Polysilicon Technology", 1985 IEEE International Solid-State Circuits Conference. <u>Digest of Technical Papers</u> , (02/1985), 168-169	
		MASUOKA, FUJIO., "A new Flash E ² PROM Cell using Triple Polysilicon Technology", <u>International Electron Devices Meeting. Technical Digest</u> , (12/1984), 464-467	
		MORI, S., "Reliable CVD Inter-Poly Dielectrics for Advanced E&EEPROM", 1985 Symposium on VLSI Technology. <u>Digest of Technical Papers</u> , (1985), 16-17	
		PASHLEY, RICHARD D., "Flash Memories: the best of two worlds", <u>IEEE Spectrum</u> , (December/1989), 30-33	
		POLLACK, S., "Tunneling Through Gaseous Oxidized Films of Al ₂ O ₃ ", <u>Transactions of the Metallurgical Society of AIME</u> , 233, (1965), pp. 497-501	
		ROBERTSON, J., "Schottky Barrier height of Tantalum oxide, barium strontium titanate, lead titanate, and strontium bismuth tantalate", <u>Applied Physics Letters</u> , vol. 74, no. 8, (02/22/1999), 1168-1170	
		SHI, Y., "Tunneling Leakage Current in Ultrathin (<4 nm) Nitride/Oxide Stack Dielectrics", <u>IEEE Electron Device Letters</u> , 19(10), (October 1998), pp. 388-390	
SN		SIMMONS, J., "Generalized Formula for the Electric Tunnel Effect between Similar Electrodes Separated by a Thin Insulating Film", <u>Journal of Applied Physics</u> , 34(6), (1963), pp. 1793-1803	
SN		SZE, S., <u>Physics of Semiconductor Devices</u> , Second Edition, (1981), pp. 553-556	

EXAMINER

SON DINH

DATE CONSIDERED

6/11/03

Substitute Disclosure Statement Form (PTO-1449)

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 608. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional) 2 Applicant is to place a check mark here if English language Translation is attached